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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/801,406

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EXAMINER

WANG, HARRIS C

ART UNIT

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PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 10/801,406	<b>Applicant(s)</b> AOKI ET AL.	
	<b>Examiner</b> HARRIS C. WANG	<b>Art Unit</b> 2139	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 24 March 2008.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-21 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-21 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |                                                                                      |                                                                   |
|--------------------------------------------------------------------------------------|-------------------------------------------------------------------|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)          | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____                                                          | 6) <input type="checkbox"/> Other: _____                          |

## **DETAILED ACTION**

### ***Continued Examination Under 37 CFR 1.114***

A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 3/24/2008 has been entered.

### ***Response to Arguments***

Applicant's arguments with respect to claims 1-21 filed in the after final response have been considered but are moot in view of the new ground(s) of rejection.

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1-21 are rejected under 35 U.S.C. 102(e) as being anticipated by Robertson (20030144894).

Regarding Claims 1, 7, 13

Robertson teaches a method for a first Web service client to invoke a service hosted on a second Web service client on behalf of a principal in a computer environment, comprising the steps of:

a) said principal logging in with a discovery service (*"The set of web pages that allow participants to sign up and do credit card deposits into their account also have a security related area that allows the user to set passwords" Paragraph [0565]*)

b) said discovery service passing to said principal an identity assertion associated with said principal and a discovery service descriptor associated with said discovery service for use by discovery service for future authentication (*"Passwords will be crucial to security and authorizing funds transfers in payment for services" Paragraph [0566]*)  
*The Examiner interprets establishing the account requires the ID of the account holder.*

c) said principal authenticating using said identity assertion and using said discovery service descriptor at said first Web service client, said first Web service client representing a desired commerce site (*"The payment agent is the one that is privy to the consumer's password and can request funds transfer authorizations from the central bank on behalf of the consumer"* Paragraph [0576]) The Examiner interprets the Web Service Client as the payment agent.

d) in response to an action related to said desired commerce site, said first Web service client requesting a first service descriptor associated with said first Web service and a first service assertion associated with said first Web service from discovery service (*"The funds transfer service API allows the consumer of a service or resource to request the creation of a funds transfer authorization object. For simplicity, we'll just refer to it as a "voucher"...Voucher creatVoucher (Identity callerId, Password callerPassword, Identity recipientID, Money transferAmmount)"* Paragraph [0566])

e) in response to receiving said first service descriptor and said first service assertion, said first Web service client invoking a desired service at said first Web service (*"\*application service can cash in the voucher with the central bank and proceed to offer capabilities of value to the consumer"* Paragraph [0576])

f) upon said first Web service determining a need to invoke a second desired service at a second Web service, said second Web service requesting from said first Web service a second service descriptor associated with said second Web service and a second service assertion associated with said second Web service; (*Figure 29 shows a first Web service invoking a second desired service, and thereby sending a voucher which*

*contains the service assertion associated with said second Web service, also see Paragraph [0566])*

g) in response to receiving said request for said second service descriptor and said second service assertion, said discovery service concatenating said second service assertion to said first service assertion and subsequently passing said first service assertion and second service assertion to said second Web service via said first Web service (*Figure 31 shows a second assertion and a first assertion passed in a "linked together" manner, see "Charlie" requesting a first service from "ZebraSoft" and a second service from "Ajax" via the first service*)

h) in response to receiving said first service assertion and second service assertion, said first Web service invoking said desired second service at said second web service (*Figure 31 shows returning the desired "value" back from the second service*)

i) wherein said second Web service obtains chained assertions from said first Web service, wherein said first Web service obtains said chained assertions from said discovery service, wherein said chained assertions comprise said identity assertion and said discovery service descriptor sent to said discovery service by said principal (*Paragraph[0566] describes a voucher that contains the "chained assertions" as claimed, Figures 29, 31 show examples of the chained assertions*)

Regarding Claim 2, 8, 14

Robertson teaches the method of claim 1, wherein said first Web service invokes one or more services hosted on one or more Web servers. (*Figures 29-31*)

Regarding Claim 3, 9, 15

Robertson teaches the method of claim 1, wherein said Web service client, said discovery service, first Web server, second web server are members of a federation relationship in which each member trusts said discovery service (*Figure 31 shows all the members in a federation relationship*)

Regarding Claim 4, 10, 16

Robertson teaches the method of claim 1, wherein said service assertion is any of, but not limited to:

A ticket;

A token;

Is notarized by said discovery service;

And is certified by said discovery service (*"Also note that deployed dSHIP services will also access the directory tree to "discover" all the Jini Lookup engines bound to the topic node in which the service wishes to register itself" Paragraph [0555]*)

Regarding Claim 5, 11, 17

Robertson teaches the method of Claim 4, wherein said service assertion is implemented using any of, but not limited to: a string; a certificate; a public key and

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discovery keys *(The service assertion is implemented using the voucher which includes at least a string, see paragraph [0566])*

Regarding Claim 6, 12, 18

Robertson teaches the method of Claim 1, wherein said service descriptor comprises any of, but not limited to:

A URL;

A string;

A SOAP address for Web services *(“policy based payment agents that shell out payments for services on behalf of the consumer, could be applied to other network service systems, for example those based upon XML/SOAP Web services” Paragraph[0582])*

Regarding Claims 19-21

Robertson teaches a method for a first Web service client to invoke a service hosted on a second Web service client on behalf of a principal in a computer environment, comprising the steps of:

a) said principal logging in with a discovery service *(“The set of web pages that allow participants to sign up and do credit card deposits into their account also have a security related area that allows the user to set passwords” Paragraph [0565])*



b) said discovery service passing to said principal an identity assertion associated with said principal and a discovery service descriptor associated with said discovery service for use by discovery service for future authentication (*"Passwords will be crucial to security and authorizing funds transfers in payment for services" Paragraph [0566]*)  
*The Examiner interprets establishing the account requires the ID of the account holder.*

c) said principal authenticating using said identity assertion and using said discovery service descriptor at said first Web service client, said first Web service client representing a desired commerce site (*"The payment agent is the one that is privy to the consumer's password and can request funds transfer authorizations from the central bank on behalf of the consumer" Paragraph [0576]*) *The Examiner interprets the Web Service Client as the payment agent.*

d) in response to an action related to said desired commerce site, said first Web service client requesting a first service descriptor associated with said first Web service and a first service assertion associated with said first Web service from discovery service (*"The funds transfer service API allows the consumer of a service or resource to request the creation of a funds transfer authorization object. For simplicity, we'll just refer to it as a "voucher"...Voucher creatVoucher (Identity callerId, Password callerPassword, Identity recipientID, Money transferAmmount)" Paragraph [0566]*)

e) in response to receiving said first service descriptor and said first service assertion, said first Web service client invoking a desired service at said first Web service (*\*application service can cash in the voucher with the central bank and proceed to offer capabilities of value to the consumer" Paragraph [0576]*)

f) upon said first Web service determining a need to invoke a second desired service at a second Web service, said second Web service requesting from said first Web service a second service descriptor associated with said second Web service and a second service assertion associated with said second Web service; *(Figure 29 shows a first Web service invoking a second desired service, and thereby sending a voucher which contains the service assertion associated with said second Web service, also see Paragraph [0566])*

g) in response to receiving said request for said second service descriptor and said second service assertion, said discovery service concatenating said second service assertion to said first service assertion and subsequently passing said first service assertion and second service assertion to said second Web service via said first Web service *(Figure 31 shows a second assertion and a first assertion passed in a "linked together" manner, see "Charlie" requesting a first service from "ZebraSoft" and a second service from "Ajax" via the first service)*

h) in response to receiving said first service assertion and second service assertion, said first Web service invoking said desired second service at said second web service *(Figure 31 shows returning the desired "value" back from the second service)*

i) wherein said second Web service obtains chained assertions from said first Web service, wherein said first Web service obtains said chained assertions from said discovery service, wherein said chained assertions comprise said identity assertion and said discovery service descriptor sent to said discovery service by said principal *(Paragraph[0566] describes a voucher that contains the "chained assertions" as claimed, Figures 29, 31 show examples of the chained assertions)*

on behalf of said principal, said discovery service retaining a footprint of: 1) said application requesting said first service descriptor and said first service assertion and 2) said first Web server requesting said second service descriptor and said second service assertion (*"This leads us to the approach of having a policy based agent that is wired with rules for deciding when requests for payments are reasonable and when they are not reasonable...This approach can prevent large losses due to a service that demands payments that are larger than the consumer wishes to make" Paragraph [0605]) If the payment agent in Figure 31 is a policy-based agent, then there must be a footprint of the first and second services, in order to enact any policy based on vouchers)*

### **Conclusion**

Any inquiry concerning this communication or earlier communications from the examiner should be directed to HARRIS C. WANG whose telephone number is (571)270-1462. The examiner can normally be reached on M-F 9-5:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, KRISTINE KINCAID can be reached on (571) 272-4063. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

HCW

/Kristine Kincaid/  
Supervisory Patent Examiner, Art Unit 2139